

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

## PCT

To:

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**L'AIR LIQUIDE S.A.**  
**DPI**

**REÇU**

**0 5 SEP. 2005**

Délai(s) saisi(s) par :  
Délai(s) vérifié(s) par :  
Total facture :

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL PRELIMINARY  
REPORT ON PATENTABILITY  
(PCT Rule 71.1)

Date of mailing  
(day/month/year)

02.09.2005

Applicant's or agent's file reference  
S6070 JV/PL

### IMPORTANT NOTIFICATION

International application No.  
PCT/IB2004/001346

International filing date (day/month/year)  
08.04.2004

Priority date (day/month/year)  
17.04.2003

Applicant  
L'AIR LIQUIDE, SOCIETE ANONYME A DIRECTOIRE ET ...

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary report on patentability and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

#### 4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary report on patentability. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

The applicant's attention is drawn to Article 33(5), which provides that the criteria of novelty, inventive step and industrial applicability described in Article 33(2) to (4) merely serve the purposes of international preliminary examination and that "any Contracting State may apply additional or different criteria for the purposes of deciding whether, in that State, the claimed inventions is patentable or not" (see also Article 27(5)). Such additional criteria may relate, for example, to exemptions from patentability, requirements for enabling disclosure, clarity and support for the claims.

Name and mailing address of the international preliminary examining authority:



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**PATENT COOPERATION TREATY**

**PCT**

**INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

|  |   |   |                      |
|--|---|---|----------------------|
| Applicant's or agent's file reference<br>S6070 JV/PL   | <b>FOR FURTHER ACTION</b>   |   | See Form PCT/PEA/416 |
| International application No.<br>PCT/IB2004/001346   | International filing date ( <i>day/month/year</i> )<br>08.04.2004 | Priority date ( <i>day/month/year</i> )<br>17.04.2003                 |                      |
| International Patent Classification (IPC) or national classification and IPC<br>C23C16/34, C23C16/448  |   |   |                      |
| Applicant<br>L'AIR LIQUIDE, SOCIETE ANONYME A DIRECTOIRE ET ...  |   |   |                      |
| <p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 5 sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> <i>sent to the applicant and to the International Bureau</i> a total of    sheets, as follows:</p> <p style="margin-left: 40px;"><input type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis of this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).</p> <p style="margin-left: 40px;"><input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> (<i>sent to the International Bureau only</i>) a total of (indicate type and number of electronic carrier(s))    , containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).</p> |   |   |                      |
| <p>4. This report contains indications relating to the following items:</p> <p><input checked="" type="checkbox"/> Box No. I    Basis of the opinion</p> <p><input type="checkbox"/> Box No. II    Priority</p> <p><input type="checkbox"/> Box No. III    Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</p> <p><input type="checkbox"/> Box No. IV    Lack of unity of invention</p> <p><input checked="" type="checkbox"/> Box No. V    Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</p> <p><input checked="" type="checkbox"/> Box No. VI    Certain documents cited</p> <p><input type="checkbox"/> Box No. VII    Certain defects in the international application</p> <p><input type="checkbox"/> Box No. VIII    Certain observations on the international application</p>  |   |   |                      |
| Date of submission of the demand<br><br>14.10.2004   |   | Date of completion of this report<br><br>02.09.2005                   |                      |
| Name and mailing address of the international preliminary examining authority:<br><br> European Patent Office - P.B. 5818 Patentlaan 2<br>NL-2280 HV Rijswijk - Pays Bas<br>Tel. +31 70 340 - 2040 Tx: 31 651 epo nl<br>Fax: +31 70 340 - 3016  |   | Authorized Officer<br><br>Lavéant, P<br><br>Telephone No. +31 70 340- |                      |



**INTERNATIONAL PRELIMINARY REPORT  
ON PATENTABILITY**

International application No.  
PCT/IB2004/001346

**Box No. 1 Basis of the report**

1. With regard to the **language**, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
  - ☐ This report is based on translations from the original language into the following language , which is the language of a translation furnished for the purposes of:
    - ☐ international search (under Rules 12.3 and 23.1(b))
    - ☐ publication of the international application (under Rule 12.4)
    - ☐ international preliminary examination (under Rules 55.2 and/or 55.3)
2. With regard to the **elements\*** of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report):*

**Description, Pages**

1-13 as originally filed

**Claims, Numbers**

1-17 as originally filed

**Drawings, Sheets**

1/5-5/5 as originally filed

- ☐ a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing
3. ☐ The amendments have resulted in the cancellation of:
    - ☐ the description, pages
    - ☐ the claims, Nos.
    - ☐ the drawings, sheets/figs
    - ☐ the sequence listing *(specify):*
    - ☐ any table(s) related to sequence listing *(specify):*
  4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
    - ☐ the description, pages
    - ☐ the claims, Nos.
    - ☐ the drawings, sheets/figs
    - ☐ the sequence listing *(specify):*
    - ☐ any table(s) related to sequence listing *(specify):*

\* If item 4 applies, some or all of these sheets may be marked "superseded."

**INTERNATIONAL PRELIMINARY REPORT  
ON PATENTABILITY**

International application No.  
PCT/B2004/001346

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**Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

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1. Statement

|                               |             |           |
|-------------------------------|-------------|-----------|
| Novelty (N)                   | Yes: Claims | 9         |
|                               | No: Claims  | 1-8,10-17 |
| Inventive step (IS)           | Yes: Claims |           |
|                               | No: Claims  | 1-17      |
| Industrial applicability (IA) | Yes: Claims | 1-17      |
|                               | No: Claims  |           |

2. Citations and explanations (Rule 70.7):

**see separate sheet**

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**Box No. VI Certain documents cited**

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1. Certain published documents (Rule 70.10)

and /or

2. Non-written disclosures (Rule 70.9)

**see separate sheet**

**INTERNATIONAL PRELIMINARY  
REPORT ON PATENTABILITY  
(SEPARATE SHEET)**

International application No.

PCT/IB2004/001346

**Re Item V.**

**Reasoned statement with regard to novelty, inventive step or industrial  
applicability; citations and explanations supporting such statement**

- 1 The following documents are referred to in this communication:

D1 : US 2001/048973 A1

D2: SMIRNOVA T P ET AL: "SiCN alloys obtained by remote plasma chemical vapour deposition from novel precursors" PREPARATION AND CHARACTERIZATION, ELSEVIER SEQUOIA, NL, vol. 429, no. 1-2,(2003-04-01), pages 144-151

D3: VORONKOV M G ET AL: "Silyl derivatives of asymmetric dimethylhydrazine as a reagents for synthesis of composite layers in silicon-structures" IZVESTIYA VYSSHNIK UCHEBNIKH ZAVEDENII, MATERIALY ELEKTRONNOI TEKHNIKI, vol. 4, 2002, pages 57-60

**2 INDEPENDENT CLAIMS**

**Lack of novelty**

The present application does not meet the criteria of Article 33(1) PCT, because the subject-matter of claims 1 and 10 is not new in the sense of Article 33(2) PCT.

- 2.1a Document D1 discloses a method for producing  $\text{Si}_3\text{N}_4$  by vapor-phase growth, said method being characterized by i) feeding a hydrazine gas and at least 1 precursor gas selected from the group consisting of trisilylamine gas and a silylhydrazine gas into a reaction chamber that holds at least 1 substrate and ii) forming a  $\text{Si}_3\text{N}_4$  film on said 1 substrate by the reaction of the 2 gases (D1: Claims 1-4, 7-10, figures 1, 6-9, compound 9 and example 1 )(Claim 1).
- 2.1b Besides, document D1 discloses a method for producing  $\text{Si}_3\text{N}_4$  by vapor-phase growth, said method being characterized by i) feeding a silylhydrazine gas into a reaction chamber that holds at least 1 substrate and ii) forming a  $\text{Si}_3\text{N}_4$  film on said 1 substrate by the decomposition of said silylhydrazine gas (D1: Claims 1-4, 7-10, figures 1, 6-9, compound 9 and example 1 )(Claim 10).
- 2.2 In addition, document D2 discloses a method for producing  $\text{Si}_3\text{N}_4$  by vapor-phase

growth, said method being characterized by i) feeding a silylhydrazine gas into a reaction chamber that holds at least 1 substrate and ii) forming a  $\text{Si}_3\text{N}_4$  film on said 1 substrate by the decomposition of said silylhydrazine gas (D2: pages 144-145)(**Claim 10**).

- 2.3 In addition, document D3 discloses a method for producing  $\text{Si}_3\text{N}_4$  by vapor-phase growth, said method being characterized by i) feeding a silylhydrazine gas into a reaction chamber that holds at least 1 substrate and ii) forming a  $\text{Si}_3\text{N}_4$  film on said 1 substrate by the decomposition of said silylhydrazine gas (D3: abstract) (**Claim 10**).

**3 DEPENDENT CLAIMS 2-9, 11-17**

Dependent claims 2-8, 11-17 do not contain any features which, in combination with the features of any claim to which they refer, meet the requirements of the PCT in respect of novelty and/or inventive step (Article 33(2) and (3) PCT).

**Re Item VI**

**Certain documents cited**

Certain published documents

| Application No<br>Patent No | Publication date<br>(day/month/year) | Filing date<br>(day/month/year) | Priority date (valid claim)<br>(day/month/year) |
|-----------------------------|--------------------------------------|---------------------------------|---|
| EP 144 1042 A               | 28.07.2004                           | 16.01.2004                      | 23.01.2003                                      |